

UTILITY PATENT APPLICATION TRANSMITTAL  
(For new Non-provisional applications under 37 CFR 1.53(b))

Attorney Docket No.: 00655P1239US  
First Named Inventor: Stephen Memory et al  
Express Mail Label No. EV 360025008 US

Mail Stop Patent Application  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Transmitted herewith for filing is a new utility patent application of inventor(s): **Stephen Memory, Gregory Hughes, L. Winston Zhang, C. James Rogers, Craig Grohman, Edward Robinson, Richard Mielke, Jonathan P. Wattelet, Lawrence Gabbey and Richard J. Trapp**, and entitled: **HEAT EXCHANGER**.

**Application Elements:**

1. ☐ Applicant claims small entity status (See 37 CFR 1.27.)
2. ☒ Specification containing 29 pages.
3. ☒ Drawings: 5 Sheets of ☒ formal drawings ☐ informal drawings
4. ☒ Oath or Declaration
  - a. ☐ An executed declaration or oath for the utility patent application including a power of attorney,
  - b. ☐ An unexecuted declaration or oath for the utility patent application including a power of attorney;
  - c. ☒ Copy from a prior application (37 CFR 1.63(d), for continuation/divisional with No. 17 completed.
    - i. ☐ Signed statement attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Application Data Sheet (See 37 CFR 1.76.)
6. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix).
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary).
  - ☐ Computer Readable Form (CFR)
  - ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - ☐ Statements verifying identity of above copies.

**Accompanying Application Parts:**

8. ☐ Assignment Papers (cover sheet, document(s) and requisite fee).

9. ☐ 37 CFR 3.73(b) Statement (where there is an assignee)  
☐ Power of Attorney
10. ☐ English Translation document (if applicable)
11. ☐ Information Disclosure Statement (IDS), including PTO-1449  
☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Postcard for PTO Mail Room Date Stamp (should be specifically itemized).
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed).
15. ☐ Request and Certification For Nonpublication Under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
16. ☐ Other \_\_\_\_\_
17. ☒ **If Continuing Application**, check appropriate box and supply the requisite information below and in a preliminary amendment:  
☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_  
09/778,310, filed February 7, 2001  
 Prior application information: Examiner: Nihir B. Patel Group/Art Unit: 3743

**For CONTINUATION or DIVISIONAL Applications only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4c, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**Fee Calculation** The filing fee has been calculated as shown below:

Small Entity						Large Entity	
For	No. Filed	No. Allowed	No. Extra	Rate	Fee	Rate	Fee
Basic Fee					\$385.00		\$770.00
Total Claims	12	- 20 =	0	x \$9.00	\$	x \$18.00	\$
Indep. Claims	3	- 3 =	0	x \$43.00	\$	x \$86.00	\$
Multiple Dependent Claims Present				+ \$145.00	\$	+ \$290.00	\$
				TOTAL	\$	TOTAL	\$770.00

18. ☒ A check in the amount of \$ 770.00 to cover the filing fee is enclosed.
19. ☐ Please charge my Deposit Account No. 23-0785 in the amount of \$ \_\_\_\_\_.

20. ☒ The Commissioner is authorized to charge payment of the following amounts associated with this communication or credit any overpayment to Deposit Account No. 23-0785:

☒ Additional filing fees under 37 CFR 1.16 or deficiencies in remittances therefor.

☒ Additional processing fees under 37 CFR 1.17 or deficiencies in remittances therefor.

☒ **ONLY if applicant has partially paid** the patent issue fee under 37 C.F.R. §1.18, then the **deficiency** shall be charged to Deposit Account No. 23-0785, and the Commissioner is authorized to so charge the Deposit Account.

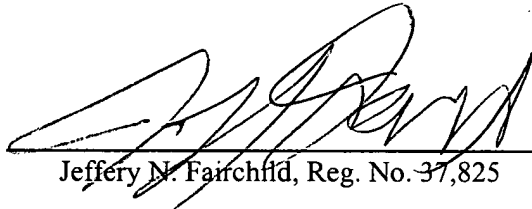
21. **Correspondence Address:**

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Date: January 20, 2004

Attorney's Signature

  
Jeffery N. Fairchild, Reg. No. 37,825

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that this Utility Patent Application Transmittal, enclosed application, and any other documents referred to as enclosed herein, are being deposited in an envelope with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450

Express Mail Label No.: EV 360025008 US

Date of Deposit: January 20, 2004

Typed/Printed Name of Person Signing: Karen A. Sanderson

Signature:

